

PTO/SB/17 (07-07)

Approved for use through 06/30/2010. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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Effective on 12/06/2004.
Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

FEE TRANSMITTAL For FY 2007

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 180.00

Complete if Known

Application Number 10/803,847
 Filing Date March 18, 2004
 First Named Inventor Gangming Xiao
 Examiner Name Rosasco, Stephen D.
 Art Unit 6418
 Attorney Docket No. 67493/121

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METHOD OF PAYMENT (check all that apply)

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FEE CALCULATION

1. BASIC FILING, SEARCH, AND EXAMINATION FEES

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

2. EXCESS CLAIM FEES

Fee Description

Each claim over 20 (including Reissues)

Each independent claim over 3 (including Reissues)

Multiple dependent claims

Total Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
- 20 or HP =	x	=	
HP = highest number of total claims paid for, if greater than 20.			
Indep. Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
- 3 or HP =	x	=	
HP = highest number of independent claims paid for, if greater than 3.			

Fee (\$)	Small Entity Fee (\$)
50	25
200	100
360	180

Multiple Dependent Claims

Fee (\$)

Fee Paid (\$)

3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
- 100 =	/ 50 =	(round up to a whole number) x	=	

4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): Filing of Information Disclosure Statement

Fees Paid (\$)

180.00

SUBMITTED BY

Signature Ben M. Halpern Registration No. 46,494 Telephone 212-336-8000
 Name (Print/Type) Benjamin M. Halpern Date August 24, 2007

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Intellectual Property Law

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New York NY 10016

Main 212 336 8000
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August 24, 2007

To: General - U.S.P.T.O.
Attn: Examiner Stephen D. Rosasco
Art Unit: 6418
Fax: (571) 273-8300
Voice: (571) 272-1389

From: Benjamin M. Halpern, Esq.

Re: Information Disclosure Statement
U.S. Patent Application Serial No. 10/803,847
Title: **EMBEDDED ATTENUATED PHASE SHIFT MASK WITH
TUNABLE TRANSMISSION**
Our File No.: 67493/121

Prepd. by: Campbell Return to: Campbell No. of pages including cover: 5

Information Disclosure Statement

DATED August 24, 2007

378476.1

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PTO/SB/21 (04-07)

Approved for use through 09/30/2007. OMB 0851-0031
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/803,847	
	Filing Date	March 18, 2004	
	First Named Inventor	Guangming Xiao	
	Art Unit	6418	
	Examiner Name	Rosasco, Stephen D.	
Total Number of Pages in This Submission	4	Attorney Docket Number	67493/121

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ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Reply to Missing Parts/Incomplete Application <input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD	<input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
Remarks ARE Information Disclosure Statement Letter (1 pg.).		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT			
Firm Name	AMSTER, ROTHSTEIN & EBENSTEIN LLP		
Signature	<i>B. M. Halpern</i>		
Printed name	Benjamin M. Halpern		
Date	August 24, 2007	Reg. No.	46,494

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I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below: BY FACSIMILE - 571-273-8300			
Signature	<i>Vivian Campbell</i>		
Typed or printed name	Vivian Campbell	Date	August 24, 2007

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/17 (07-07)

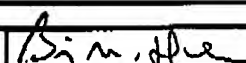
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Effective on 12/08/2004. Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4418). FEE TRANSMITTAL For FY 2007		Complete if Known Application Number: 10/803,847 Filing Date: March 18, 2004 First Named Inventor: Gangming Xiao Examiner Name: Rosasco, Stephen D. Art Unit: 6418 Attorney Docket No.: 67493/121	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		RECEIVED CENTRAL FAX CENTER AUG 24 2007	
TOTAL AMOUNT OF PAYMENT (\$): 180.00			

METHOD OF PAYMENT (check all that apply) <input type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> None <input type="checkbox"/> Other (please identify): _____ <input checked="" type="checkbox"/> Deposit Account Deposit Account Number: 01-1787 Deposit Account Name: AMSTER, ROTHSTEIN et al. For the above-identified deposit account, the Director is hereby authorized to: (check all that apply) <input checked="" type="checkbox"/> Charge fee(s) indicated below <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee <input checked="" type="checkbox"/> Charge any additional fee(s) or underpayments of fee(s) under 37 CFR 1.16 and 1.17 <input checked="" type="checkbox"/> Credit any overpayments WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.							
FEE CALCULATION							
1. BASIC FILING, SEARCH, AND EXAMINATION FEES							
	FILING FEES Application Type Fee (\$) Small Entity Fee (\$)		SEARCH FEES Fee (\$) Small Entity Fee (\$)		EXAMINATION FEES Fee (\$) Small Entity Fee (\$)		Fees Paid (\$)
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	
2. EXCESS CLAIM FEES							
Fee Description						Small Entity Fee (\$)	Fee (\$)
Each claim over 20 (including Reissues)						50	25
Each independent claim over 3 (including Reissues)						200	100
Multiple dependent claims						360	180
Total Claims						Multiple Dependent Claims Fee (\$)	Fee Paid (\$)
- 20 or HP = _____ x _____ = _____ HP = highest number of total claims paid for, if greater than 20.							
Indep. Claims						Fee (\$)	Fee Paid (\$)
- 3 or HP = _____ x _____ = _____ HP = highest number of independent claims paid for, if greater than 3.							
3. APPLICATION SIZE FEE							
If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).							
Total Sheets		Extra Sheets		Number of each additional 50 or fraction thereof		Fee (\$)	Fee Paid (\$)
- 100 = _____ / 50 = _____ (round up to a whole number) x _____ = _____							
4. OTHER FEE(S)							
Non-English Specification, \$130 fee (no small entity discount)							
Other (e.g., late filing surcharge): Filing of Information Disclosure Statement							180.00

SUBMITTED BY		
Signature: 	Registration No. (Attorney/Agent): 46,494	Telephone: 212-336-8000
Name (Print/Type): Benjamin M. Halpern		Date: August 24, 2007

This collection of information is required by 37 CFR 1.138. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Dkt. No. 67493/121

AUG 24 2007

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Application No. : 10/803,847

Confirmation No: 6418

Applicant : Guangming Xiao

Filed : March 18, 2004

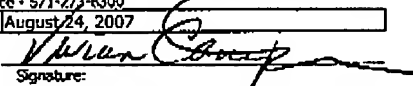
TC/A.U. : 1756

Examiner : Rosasco, Stephen D.

Docket No. : 67493/121

Customer No. : 1912

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Signature: 
Vivian Campbell
Printed Name of Person Signing

INFORMATION DISCLOSURE STATEMENT**BY FACSIMILE - 571-273-8300**

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22323-1450

Attn: Examiner Stephen Rosasco

Sir:

Applicant attaches herewith Form PTO/SB/08A listing the references cited
in a Search Report for a related European Application.

Attached is a Fee Transmittal Sheet authorizing the U.S. Patent and
Trademark Office to charge our Deposit Account No. 01-1785 in amount of \$180.00 for
the filing of this Information Disclosure Statement.

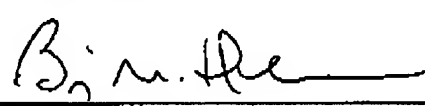
08/27/2007 HLE333 00000057 011785 10803847

01 FC:1806 180.00 DA

Respectfully submitted,

AMSTER, ROTHSTEIN & EBENSTEIN LLP
Attorneys for Applicants
90 Park Avenue
New York, NY 10016
(212) 336-8000

Dated: New York, New York
August 24, 2007

By: 
Benjamin M. Halpern
Registration No.: 46,494

Page 1 of 1

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Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Application Number	10/803,847
Filing Date	March 18, 2004
First Named Inventor	Guangming Xiao
Art Unit	6418
Examiner Name	Rosasco, Stephen D.
Attorney Docket Number	67493/121

AUG 24 2007

PAGE 5/5 * RCVD AT 8/24/2007 5:18:07 PM [Eastern Daylight Time] * SVR:USPTO-EFXRF-5/12 * DNIS:2738300 * CSID:1 212 336 8001 * DURATION (mm:ss):01:26